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NOTICE OF ALLOWANCE AND FEE(S) DUE

22835 7590 12/15/2003
PARK, VAUGHAN & FLEMING LLP
508 SECOND STREET
SUITE 201
DAVIS, CA 95616

EXAMINER

TO, BAOQUOC N

ART UNIT

PAPER NUMBER

2172

DATE MAILED: 12/15/2003

| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|-----------------|-------------|----------------------|---------------------|------------------|
| 09/559,206 | 04/26/2000 | Daniel Manhung Wong | OR00-01101 | 1513 |

TITLE OF INVENTION: REFORMING QUERIES TO SELECTIVELY AUDIT ACCESSES TO ROWS WITHIN A RELATIONAL DATABASE

| APPLN. TYPE | SMALL ENTITY | ISSUE FEE | PUBLICATION FEE | TOTAL FEE(S) DUE | DATE DUE |
|----------------|--------------|-----------|-----------------|------------------|------------|
| nonprovisional | NO | \$1330 | \$0 | \$1330 | 03/15/2004 |

THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. **PROSECUTION ON THE MERITS IS CLOSED.** THIS NOTICE OF ALLOWANCE IS NOT A GRANT OF PATENT RIGHTS. THIS APPLICATION IS SUBJECT TO WITHDRAWAL FROM ISSUE AT THE INITIATIVE OF THE OFFICE OR UPON PETITION BY THE APPLICANT. SEE 37 CFR 1.313 AND MPEP 1308.

THE ISSUE FEE AND PUBLICATION FEE (IF REQUIRED) MUST BE PAID WITHIN **THREE MONTHS** FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. **THIS STATUTORY PERIOD CANNOT BE EXTENDED.** SEE 35 U.S.C. 151. THE ISSUE FEE DUE INDICATED ABOVE REFLECTS A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE APPLIED IN THIS APPLICATION. THE PTOL-85B (OR AN EQUIVALENT) MUST BE RETURNED WITHIN THIS PERIOD EVEN IF NO FEE IS DUE OR THE APPLICATION WILL BE REGARDED AS ABANDONED.

HOW TO REPLY TO THIS NOTICE:

I. Review the SMALL ENTITY status shown above.

If the SMALL ENTITY is shown as YES, verify your current SMALL ENTITY status:

A. If the status is the same, pay the TOTAL FEE(S) DUE shown above.

B. If the status is changed, pay the PUBLICATION FEE (if required) and twice the amount of the ISSUE FEE shown above and notify the United States Patent and Trademark Office of the change in status, or

If the SMALL ENTITY is shown as NO:

A. Pay TOTAL FEE(S) DUE shown above, or

B. If applicant claimed SMALL ENTITY status before, or is now claiming SMALL ENTITY status, check the box below and enclose the PUBLICATION FEE and 1/2 the ISSUE FEE shown above.

☐ Applicant claims SMALL ENTITY status.
See 37 CFR 1.27.

II. PART B - FEE(S) TRANSMITTAL should be completed and returned to the United States Patent and Trademark Office (USPTO) with your ISSUE FEE and PUBLICATION FEE (if required). Even if the fee(s) have already been paid, Part B - Fee(s) Transmittal should be completed and returned. If you are charging the fee(s) to your deposit account, section "4b" of Part B - Fee(s) Transmittal should be completed and an extra copy of the form should be submitted.

III. All communications regarding this application must give the application number. Please direct all communications prior to issuance to Mail Stop ISSUE FEE unless advised to the contrary.

IMPORTANT REMINDER: Utility patents issuing on applications filed on or after Dec. 12, 1980 may require payment of maintenance fees. It is patentee's responsibility to ensure timely payment of maintenance fees when due.

PART B - FEE(S) TRANSMITTAL

Complete and send this form, together with applicable fee(s), to: **Mail**

**Mail Stop ISSUE FEE
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450
or Fax (703) 746-4000**

INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 4 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Legibly mark-up with any corrections or use Block 1)

22835 7590 12/15/2003

**PARK, VAUGHAN & FLEMING LLP
508 SECOND STREET
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Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

Certificate of Mailing or Transmission

I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO, on the date indicated below.

| |
|--------------------|
| (Depositor's name) |
| (Signature) |
| (Date) |

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|----------------|--------------|-----------|-----------------|------------------|------------|
| nonprovisional | NO | \$1330 | \$0 | \$1330 | 03/15/2004 |

| EXAMINER | ART UNIT | CLASS-SUBCLASS |
|---------------|----------|----------------|
| TO, BAOQUOC N | 2172 | 707-002000 |

| | |
|--|---|
| <p>1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).</p> <p><input type="checkbox"/> Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.</p> <p><input type="checkbox"/> "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. Use of a Customer Number is required.</p> | <p>2. For printing on the patent front page, list (1) the names of up to 3 registered patent attorneys or agents OR, alternatively, (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.</p> <p>1 _____</p> <p>2 _____</p> <p>3 _____</p> |
|--|---|

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. Inclusion of assignee data is only appropriate when an assignment has been previously submitted to the USPTO or is being submitted under separate cover. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE (B) RESIDENCE: (CITY and STATE OR COUNTRY)

Please check the appropriate assignee category or categories (will not be printed on the patent); ☐ individual ☐ corporation or other private group entity ☐ government

4a. The following fee(s) are enclosed:

- ☐ Issue Fee
- ☐ Publication Fee
- ☐ Advance Order - # of Copies _____

4b. Payment of Fee(s):

- ☐ A check in the amount of the fee(s) is enclosed.
- ☐ Payment by credit card. Form PTO-2038 is attached.
- ☐ The Director is hereby authorized by charge the required fee(s), or credit any overpayment, to Deposit Account Number _____ (enclose an extra copy of this form).

Director for Patents is requested to apply the Issue Fee and Publication Fee (if any) or to re-apply any previously paid issue fee to the application identified above.

| | |
|--|---------------|
| <p>(Authorized Signature)</p> <p>NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.</p> <p>This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Alexandria, Virginia 22313-1450.</p> <p>Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.</p> | <p>(Date)</p> |
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TRANSMIT THIS FORM WITH FEE(S)



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Determination of Patent Term Extension under 35 U.S.C. 154 (b) (application filed after June 7, 1995 but prior to May 29, 2000)

The Patent Term Extension is 0 day(s). Any patent to issue from the above-identified application will include an indication of the 0 day extension on the front page.

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Extension is the filing date of the most recent CPA.

Applicant will be able to obtain more detailed information by accessing the Patent Application Information Retrieval (PAIR) system (<http://pair.uspto.gov>).

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (703) 305-1383. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at (703) 305-8283.



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| 09/559,206 | 04/26/2000 | Daniel Manhung Wong | OR00-01101 | 1513 |
| 22835 | 7590 | 12/15/2003 | EXAMINER | |
| PARK, VAUGHAN & FLEMING LLP 508 SECOND STREET SUITE 201 DAVIS, CA 95616 | | | TO, BAOQUOC N | |
| | | | ART UNIT | PAPER NUMBER |
| | | | 2172 | |

DATE MAILED: 12/15/2003

Notice of Fee Increase on October 1, 2003

If a reply to a "Notice of Allowance and Fee(s) Due" is filed in the Office on or after October 1, 2003, then the amount due will be higher than that set forth in the "Notice of Allowance and Fee(s) Due" since there will be an increase in fees effective on October 1, 2003. See Revision of Patent Fees for Fiscal Year 2004; Final Rule, 68 Fed. Reg. 41532, 41533, 41534 (July 14, 2003).

The current fee schedule is accessible from (<http://www.uspto.gov/main/howtofees.htm>).

If the fee paid is the amount shown on the "Notice of Allowance and Fee(s) Due" but not the correct amount in view of the fee increase, a "Notice of Pay Balance of Issue Fee" will be mailed to applicant. In order to avoid processing delays associated with mailing of a "Notice of Pay Balance of Issue Fee," if the response to the Notice of Allowance is to be filed on or after October 1, 2003 (or mailed with a certificate of mailing on or after October 1, 2003), the issue fee paid should be the fee that is required at the time the fee is paid. If the issue fee was previously paid, and the response to the "Notice of Allowance and Fee(s) Due" includes a request to apply a previously-paid issue fee to the issue fee now due, then the difference between the issue fee amount at the time the response is filed and the previously-paid issue fee should be paid. See Manual of Patent Examining Procedure, Section 1308.01 (Eighth Edition, August 2001).

Effective October 1, 2003, 37 CFR 1.18 is amended by revising paragraphs (a) through (c) to read as set forth below.

Section 1.18 Patent post allowance (including issue) fees.

- (a) Issue fee for issuing each original or reissue patent, except a design or plant patent:
- By a small entity (Sec. 1.27(a))..... \$665.00
 - By other than a small entity..... \$1,330.00
- (b) Issue fee for issuing a design patent:
- By a small entity (Sec. 1.27(a))..... \$240.00
 - By other than a small entity..... \$480.00
- (c) Issue fee for issuing a plant patent:
- By a small entity (Sec. 1.27(a))..... \$320.00
 - By other than a small entity..... \$640.00

Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at (703) 305-8283.

Notice of Allowability

Application No.

09/559,206

Examiner

Baoquoc N To

Applicant(s)

WONG, DANIEL MANHUNG

Art Unit

2172

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to 12/09/03.
2. ☒ The allowed claim(s) is/are 1,3-5,7-9,11-13,15-17,19-21,23 and 24.
3. ☒ The drawings filed on 03 December 2003 are accepted by the Examiner.
4. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
 - a) ☐ All b) ☐ Some* c) ☐ None of the:
 1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).
- * Certified copies not received: _____.
5. ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application) since a specific reference was included in the first sentence of the specification or in an Application Data Sheet. 37 CFR 1.78.
 - (a) ☐ The translation of the foreign language provisional application has been received.
6. ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121 since a specific reference was included in the first sentence of the specification or in an Application Data Sheet. 37 CFR 1.78.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application. **THIS THREE-MONTH PERIOD IS NOT EXTENDABLE**

7. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
8. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
 - (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
 - 1) ☐ hereto or 2) ☐ to Paper No. _____.
 - (b) ☐ including changes required by the proposed drawing correction filed _____, which has been approved by the Examiner.
 - (c) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No. _____.

Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the margin according to 37 CFR 1.121(d).

9. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Attachment(s)

- 1 ☐ Notice of References Cited (PTO-892)
- 2 ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3 ☐ Information Disclosure Statements (PTO-1449 or PTO/SB/08), Paper No. _____
- 4 ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material

- 5 ☐ Notice of Informal Patent Application (PTO-152)
- 6 ☐ Interview Summary (PTO-413), Paper No. _____
- 7 ☒ Examiner's Amendment/Comment
- 8 ☒ Examiner's Statement of Reasons for Allowance
- 9 ☐ Other

KIM VU
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 2100

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DETAILED ACTION

1. Claims 1-24 are pending in this application.
2. Claims 1, 9 and 17 are amended in After-Final amendment filed on 11/17/03.
3. Claims 2, 6, 10, 14, 18 and 22 are canceled and claims 1, 9 and 24 are amended according the telephone conversation on December 9, 2003 with the applicant's representative Mr. Edward J. Grundler to incorporate claims 2 and 6 into claim 1, claim 10 and 14 into claim 9 and claims 18 and 22 into claim 17.

EXAMINER'S AMENDMENT

4. An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a telephone interview with Mr. Edward J. Grundler Registration No. 47,615 on Dec 9, 2003.

Please cancel claims 2, ~~6~~, 10, 14, 18 and 22.

In claim 1, Please replace claim [entire claim 1] with:

1. A method for selectively auditing accesses to a relational database, comprising:
 - receiving a query for the relational database;
 - selectively auditing an access to the relational database, wherein selectively auditing the access involves automatically modifying the query prior to processing the

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query, so that processing the query causes an audit record to be created and recorded only rows in relational tables that are accessed by the query and that satisfy an auditing condition, wherein satisfying the auditing condition allows selective auditing of the query and not for other rows, wherein the auditing condition specifies condition specifies a condition based on a value of a field in a row in the relation database, and wherein satisfying the auditing condition allows selective auditing of the query, wherein if the query includes a select statement, inserting a case statement into the select statement that calls a function that causes the audit record to be created and recorded if the auditing is satisfied, wherein if the inserting the case statement into the query further comprises: inserting the case statement into the query; allowing a query processor to allocate buffer for the query; removing the case statement from the query; allowing the query processor to generate a query plan for the query; and scheduling the case statement near the end of the query plan to ensure that the case statement is evaluated only after other conditions of the query are satisfied, so that the auditing record is created only for rows that are actually accessed by the query;

processing the modified query to produce a query result, wherein processing the modified query includes, creating the auditing records for rows in relational tables that are access by the query and that satisfying the auditing condition, and recording the audit record in an audit record store; and

returning the query result.

Claim 3, line 1, change "3" with --1--.

In claim 9, Please replace [entire claim 9] with:

18. A computer-readable storage medium storing instructions that when executed by a computer cause the computer to perform a method for selectively auditing accesses to a relational database, the method comprising:

receiving a query for the relational database;

selectively auditing an access to the relational database, wherein selectively auditing the access involves automatically modifying the query prior to processing the query, so that processing the query causes an audit record to be created and recorded only rows in relational tables that are accessed by the query and that satisfy an auditing condition, wherein satisfying the auditing condition allows selective auditing of the query and not for other rows, wherein the auditing condition specifies condition specifies a condition based on a value of a field in a row in the relation database, and wherein satisfying the auditing condition allows selective auditing of the query, wherein if the query includes a select statement, inserting a case statement into the select statement that calls a function that causes the audit record to be created and recorded if the auditing is satisfied, wherein if the inserting the case statement into the query further comprises: inserting the case statement into the query, wherein if the query includes a select statement, inserting a case statement into the select statement that calls a function that causes the audit record to be created and recorded if the auditing is satisfied, wherein if the inserting the case statement into the query further comprises: inserting the case statement into the query; allowing a query processor to allocate buffer for the query; removing the case statement from the query; allowing the query processor to generate a query plan for the query; and scheduling the case statement near the end of the query

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plan to ensure that the case statement is evaluated only after other conditions of the query are satisfied, so that the auditing record is created only for rows that are actually accessed by the query;

processing the modified query to produce a query result, wherein processing the modified query includes; creating the auditing records for rows in relational tables that are access by the query and that satisfying the auditing condition, and recording the audit record in an audit record store; and

returning the query result.

Claim 11, line 1, change "9" with --10--.

In claim 17, Please replace [entire claim 11] with:

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11. An apparatus that selectively audits accesses to a relational database, comprising:
receiving a query for the relational database;
selectively auditing an access to the relational database, wherein selectively auditing the access involves automatically modifying the query prior to processing the query, so that processing the query causes an audit record to be created and recorded only rows in relational tables that are accessed by the query and that satisfy an auditing condition, wherein satisfying the auditing condition allows selective auditing of the query and not for other rows, wherein the auditing condition specifies condition specifies a condition based on a value of a field in a row in the relation database, and wherein satisfying the auditing condition allows selective auditing of the query, wherein if the query includes a select statement, inserting a case statement into the select statement that calls a

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function that causes the audit record to be created and recorded if the auditing is satisfied, wherein if the inserting the case statement into the query further comprises: inserting the case statement into the query, wherein if the query includes a select statement, inserting a case statement into the select statement that calls a function that causes the audit record to be created and recorded if the auditing is satisfied, wherein if the inserting the case statement into the query further comprises: inserting the case statement into the query; allowing a query processor to allocate buffer for the query; removing the case statement from the query; allowing the query processor to generate a query plan for the query; and scheduling the case statement near the end of the query plan to ensure that the case statement is evaluated only after other conditions of the query are satisfied, so that the auditing record is created only for rows that are actually accessed by the query;

A query processor that is configured to process the modified query to produce a query result, wherein processing the modified query includes, creating the auditing records for rows in relational tables that are access by the query and that satisfying the auditing condition, and recording the audit record in an audit record store; and

A returning mechanism that is configured to return the query result.

Claim 19, line 1, change "18" with --17--.

Allowable Subject Matter

5. Claims allowed: 1, 3, 5-9, 11-13, 15-17, 19-21 and 23-24.

The following is an examiner's statement of reasons for allowance: None known prior art alone or in combination neither teach or suggest this feature "selectively auditing an access to the relational database, wherein selectively auditing the access involves automatically modifying the query prior to processing the query, so that processing the query causes an audit record to be created and recorded only rows in relational tables that are accessed by the query and that satisfy an auditing condition, wherein satisfying the auditing condition allows selective auditing of the query and not for other rows, wherein the auditing condition specifies condition specifies a condition based on a value of a field in a row in the relation database, and wherein satisfying the auditing condition allows selective auditing of the query, wherein if the query includes a select statement, inserting a case statement into the select statement that calls a function that causes the audit record to be created and recorded if the auditing is satisfied, wherein if the inserting the case statement into the query further comprises: inserting the case statement into the query, wherein if the query includes a select statement, inserting a case statement into the select statement that calls a function that causes the audit record to be created and recorded if the auditing is satisfied, wherein if the inserting the case statement into the query further comprises: inserting the case statement into the query; allowing a query processor to allocate buffer for the query; removing the case statement from the query; allowing the query processor to generate a query plan for the query; and scheduling the case statement near the end of the query plan to ensure that the case statement is evaluated only after other conditions of the

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query are satisfied, so that the auditing record is created only for rows that are actually accessed by the query."

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

Contact Information

6. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Baoquoc N. To whose telephone number is (703) 305-1949 or via e-mail BaoquocN.To@uspto.gov. The examiner can normally be reached on Monday-Friday: 8:00 AM – 4:30 PM, EST.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kim Y. Vu can be reached at (703) 305-4393.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 305-3900.

Any response to this action should be mailed to:

Commissioner of Patents and Trademarks
Washington, D.C. 20231.

The fax numbers for the organization where this application or proceeding is assigned are as follow:

- (703) 746-7238 [After Final Communication]
- (703) 746-7239 [Official Communication]
- (703) 746-7240 [Non-Official Communication]

Hand-delivered responses should be brought to:

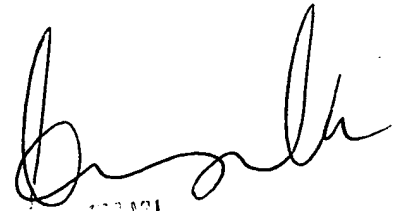
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Crystal Park II
2121 Crystal Drive
Arlington, VA 22202
Fourth Floor (Receptionist).

Baoquoc N. To
December 9, 2003



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